



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor: Regis Charlot
Title: Adaptive Data Manager

Serial No: 09/997,723
Filing Date: November 30, 2001
Group: 2122
Examiner: To be assigned

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Signed: Richard P. Beem
Richard P. Beem

Dated: February 28, 2002

Assistant Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231

RESPONSE TO NOTICE OF MISSING PARTS

Sir,

Submitted herewith are the following documents to complete the filing of utility patent application SN 09/997,723. This response is timely, within two months of the date of the Notice to File Missing Parts, dated 12/28/01. The documents included with this response are:

1. Notice to File Missing Parts of Application
2. Application Declaration by the Inventors, 37 CFR 1.63
3. Abstract of the Disclosure, 37 CFR 1.72(b)
4. Fee Transmittal with fee payment of \$435.00 including:
statutory basic filing fee for a small entity of \$370.00
fee for filing the oath or declaration late of \$65.00

The following documents are also submitted herewith,

1. Power of Attorney for each of 4 inventors
2. Information Disclosure Statement by Applicant (37 CFR 1.97, submitted within 90 days of the filing date, 11/30/01)
3. Copies of the Cited References for the Information Disclosure Statement
4. Preliminary Amendment

If there are any charges in connection with the prosecution of this application that are not otherwise paid, please charge the deposit account for Beem Patent Group; the application and deposit check for which were submitted January 25, 2002, and for which an account number is to be assigned.

Dated this 28th day of February, 2002.

Respectfully submitted,



Richard P. Beem
Reg. No. 32,961
135 S. LaSalle Street,
Suite 3600
Chicago IL 60603-4110
Tel. (312) 201-0011



Section 101

23

Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/997,723	
	Filing Date	11/30/01	
	First Named Inventor	Regis Charlot	
	Group Art Unit	2122	
	Examiner Name		
Total Number of Pages in This Submission	248	Attorney Docket Number	0214-0001

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Declaration Abstract
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

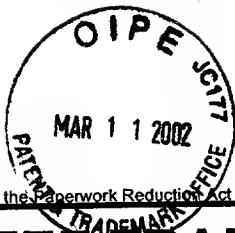
Firm or Individual name	Richard P. Beem
Signature	<i>Richard P. Beem</i>
Date	February 28, 2002

CERTIFICATE OF MAILING

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Typed or printed name	Richard P. Beem		
Signature	<i>Richard P. Beem</i>	Date	February 28, 2002

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PTO/SB/17 (10-01)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 435

Complete if Known

Application Number	09/997,723
Filing Date	11/30/01
First Named Inventor	Regis Charlot
Examiner Name	
Group Art Unit	2122
Attorney Docket No.	0214-0001

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number
Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		101	740	201	370	Utility filing fee	370
		106	330	206	165	Design filing fee	
		107	510	207	255	Plant filing fee	
		108	740	208	370	Reissue filing fee	
		114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 370

2. EXTRA CLAIM FEES

Total Claims -20** = X =
Independent Claims -3** = X =
Multiple Dependent =

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
		103	18	203	9	Claims in excess of 20
		102	84	202	42	Independent claims in excess of 3
		104	280	204	140	Multiple dependent claim, if not paid
		109	84	209	42	** Reissue independent claims over original patent
		110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
		105	130	205	65	Surcharge - late filing fee or oath	65
		127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
		139	130	139	130	Non-English specification	
		147	2,520	147	2,520	For filing a request for ex parte reexamination	
		112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
		115	110	215	55	Extension for reply within first month	
		116	400	216	200	Extension for reply within second month	
		117	920	217	460	Extension for reply within third month	
		118	1,440	218	720	Extension for reply within fourth month	
		128	1,960	228	980	Extension for reply within fifth month	
		119	320	219	160	Notice of Appeal	
		120	320	220	160	Filing a brief in support of an appeal	
		121	280	221	140	Request for oral hearing	
		138	1,510	138	1,510	Petition to institute a public use proceeding	
		140	110	240	55	Petition to revive - unavoidable	
		141	1,280	241	640	Petition to revive - unintentional	
		142	1,280	242	640	Utility issue fee (or reissue)	
		143	460	243	230	Design issue fee	
		144	620	244	310	Plant issue fee	
		122	130	122	130	Petitions to the Commissioner	
		123	50	123	50	Processing fee under 37 CFR 1.17(q)	
		126	180	126	180	Submission of Information Disclosure Stmt	
		581	40	581	40	Recording each patent assignment per property (times number of properties)	
		146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
		149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
		179	740	279	370	Request for Continued Examination (RCE)	
		169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 65

SUBMITTED BY

Name (Print/Type) Richard P. Beem

Registration No (Attorney/Agent) 32,961

Complete (if applicable)

Telephone 312-201-0011

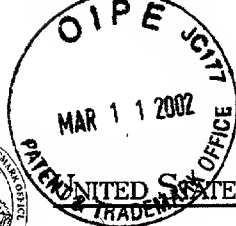
Signature

Richard P. Beem

Date Feb. 28, 2002

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WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/997,723	11/30/2001	Regis Charlot	0214-0001

CONFIRMATION NO. 4094

FORMALITIES LETTER



OC00000007237955

Richard P. Beem
Beem Patent Group
Suite 3600
135 S. La Salle St.
Chicago, IL 60603-4110

Date Mailed: 12/28/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 370 to complete the basic filing fee for a small entity.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 435.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- An abstract was not provided for this application. An abstract of the technical disclosure is required under 37 CFR 1.72(b).

*A copy of this notice **MUST** be returned with the reply.*

03/14/2002 MBERHE 00000118 09997723

01 FC:201 370.00 OP
02 FC:205 65.00 OP

09/997,723



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Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

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